

Records Management Criteria

Topic	Criteria
A. Official Personnel File	
Official Custodian	Who is the official custodian? Documented in writing? Policy addresses maintenance, access, confidentiality, and disposition of records?
Forms and documents	Are appropriate leave forms (or equivalent), benefit enrollment forms used? Documents from new employee orientation (e.g. ,workers compensation process) most current performance evaluation, FLSA notification, compensatory time agreement (if applicable), documentation of training (e.g., work place violence, sexual harassment)
I-9's	Kept separate from personnel file? Copies of identification material? Process in place to re-verify the work authorization documentation for employees working under an alien status?
B. Medical Files	
Separate and confidential	Policy in place to address confidentiality? Are these files separate from the personnel file? Who has access?
FML records	Are state forms used (or equivalent)? Are forms used for all employees (state employees and exempt employees)? Are copies of requests, designations, notification, and other communication maintained?
STD/Worker's Comp records	
C. Position Files	
Documents	PDQs, FLSA designation, allocation decision and justification, copies of announcements, appeals and responses.
D. Reemployment List Files	
	Are lists established? How does department ensure use of list?
E. Timekeeping Records	
FLSA Records for non-exempt Records maintained for exempt (Conduct in conjunction with Total Compensation Criteria – Overtime)	Policy in place? Are appropriate records maintained? Who is accountable for timekeeping? Are records audited (yearly, turnover)? Are reports generated and shared with employee and supervisors to certify time taken? Are electronic systems coded correctly? Are checks and balances in place?
F. Benefit Records	
Benefit Forms and legal documentation	Are state forms used? Is necessary legal documentation maintained (marriage, divorce, birth, etc.)
COBRA	Policy in place? Notices to eligible employees and dependants maintained? How is notice delivered?